

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. 1.53(b))

|                        |  |
|------------------------|--|
| Attorney Docket No.    | 99999-008375   |
| First Inventor         | ROTHSCHILD, Walter Galeski                                       |
| Title                  | System and Methods for Statistical Modeling of Complex Data Sets |
| Express Mail Label No. | EV 315 183 396 US  |

0940 U.S. P.T.O.  
10/660136  
09/11/03

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1.  Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2.  Applicant claims small entity status.  
See 37 CFR 1.27.
3.  Specification [Total Pages 37]  
(preferred arrangement set forth below)
  - Descriptive title of the Invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4.  Drawing(s) (35 U.S.C.113) [Total Sheets 3]
5. Oath or Declaration [Total Sheets 1]
  - a.  Newly executed (original or copy)
  - b.  Copy from a prior application (37 CFR 1.63 (d))  
(for a continuation/divisional with Box 18 completed)
  - i.  **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6.  Application Data Sheet. See 37 CFR 1.76

## ADDRESS TO:

 Commissioner for Patents  
 Mail Stop Patent Application  
 P.O. Box 1450  
 Alexandria VA 22313-1450

7.  CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a.  Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i.  CD-ROM or CD-R (2 copies); or
    - ii.  paper
  - c.  Statements verifying identity of above copies

## ACCOMPANYING APPLICATIONS PARTS

9.  Assignment Papers (cover sheet & document(s))
10.  37 C.F.R. 3.73(b) Statement  Power of Attorney (when there is an assignee)
11.  English Translation Document (if applicable)
12.  Information Disclosure Statement (IDS)/PTO-1449  Copies of IDS Citations
13.  Preliminary Amendment
14.  Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15.  Certified Copy of Priority Document(s) (if foreign priority is claimed)
16.  Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17.  Other: Express Mail Certificate; Check #341162 for \$645 (Claims); Check #340730 for \$40 (Assignment); Recordation Form Cover Sheet.

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

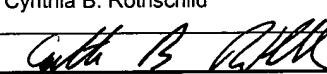
Continuation  Divisional  Continuation-in-part (CIP) of prior application No: \_\_\_\_\_ / \_\_\_\_\_  
Prior application information: Examiner \_\_\_\_\_ Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label   or  Correspondence address below  
(Insert Customer No. or Attach bar code label here)

|         |   |           |                |          |                    |
|---------|---|-----------|----------------|----------|--------------------|
| Name    | Cynthia B. Rothschild (Reg. No. 47,040) |           |                |          |                    |
| Address | Kilpatrick Stockton LLP                 |           |                |          |                    |
|         | 1001 West Fourth Street                 |           |                |          |                    |
| City    | Winston-Salem                           | State     | NC             | Zip Code | 27101-2400         |
| Country | USA                                     | Telephone | (336) 747-7541 |          | Fax (336) 607-7500 |

|                   |   |                                   |                         |
|-------------------|---|-----------------------------------|-------------------------|
| Name (Print/Type) | Cynthia B. Rothschild   | Registration No. (Attorney/Agent) | 47,040                  |
| Signature         |  |                                   | Date September 11, 2003 |

This collection of information is required by 37 CFR 1.53(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2. 99999-008375 WINLIB01:1028782.1

16638 U.S. PTO  
01/11/60

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

 Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ 685)

## Complete If Known

|                      |                            |
|----------------------|----------------------------|
| Application Number   | Unassigned                 |
| Filing Date          | Herewith                   |
| First Named Inventor | Rothschild, Walter Galeski |
| Examiner Name        | Unassigned                 |
| Art Unit             | Unassigned                 |
| Attorney Docket No.  | 99999-008375               |

## METHOD OF PAYMENT (check all that apply)

 Check  Credit card  Money  Other  None  
Order
 Deposit Account:Deposit  
Account  
Number

16-1435

Deposit  
Account  
Name

Kilpatrick Stockton LLP

The Director is authorized to: (check all that apply)

 Charge fee(s) indicated below  Credit any overpayments  
 Charge any additional fee(s) during the pendency of this application  
 Charge fee(s) indicated below, except for the filing fee  
 to the above-identified deposit account.

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

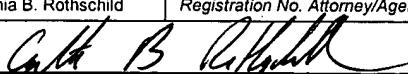
| Large Entity | Small Entity | Fee Code | Fee (\$) | Fee Code | Fee (\$) | Fee Description  | Fee Paid |
|--------------|--------------|----------|----------|----------|----------|--|----------|
|              |              | 1051     | 130      | 2051     | 65       | Surcharge - late filing fee or oath  |          |
|              |              | 1052     | 50       | 2052     | 25       | Surcharge - late provisional filing fee or cover sheet                     |          |
|              |              | 1053     | 130      | 1053     | 130      | Non-English specification  |          |
|              |              | 1812     | 2,520    | 1812     | 2,520    | For filing a request for reexamination                                     |          |
|              |              | 1804     | 920*     | 1804     | 920*     | Requesting publication of SIR prior to Examiner action                     |          |
|              |              | 1805     | 1,840*   | 1805     | 1,840*   | Requesting publication of SIR after Examiner action                        |          |
|              |              | 1251     | 110      | 2251     | 55       | Extension for reply within first month                                     |          |
|              |              | 1252     | 410      | 2252     | 205      | Extension for reply within second month                                    |          |
|              |              | 1253     | 930      | 2253     | 465      | Extension for reply within third month                                     |          |
|              |              | 1254     | 1,450    | 2254     | 725      | Extension for reply within fourth month                                    |          |
|              |              | 1255     | 1,970    | 2255     | 985      | Extension for reply within fifth month                                     |          |
|              |              | 1401     | 320      | 2401     | 160      | Notice of Appeal   |          |
|              |              | 1402     | 320      | 2402     | 160      | Filing a brief in support of an appeal                                     |          |
|              |              | 1403     | 280      | 2403     | 140      | Request for oral hearing   |          |
|              |              | 1451     | 1,510    | 1451     | 1,510    | Petition to institute a public use proceeding                              |          |
|              |              | 1452     | 110      | 2452     | 55       | Petition to revive – unavoidable   |          |
|              |              | 1453     | 1,300    | 2453     | 650      | Petition to revive – unintentional   |          |
|              |              | 1501     | 1,300    | 2501     | 650      | Utility issue fee (or reissue)   |          |
|              |              | 1502     | 470      | 2502     | 235      | Design issue fee   |          |
|              |              | 1503     | 630      | 2503     | 315      | Plant issue fee  |          |
|              |              | 1460     | 130      | 1460     | 130      | Petitions to the Commissioner  |          |
|              |              | 1807     | 50       | 1807     | 50       | Processing fee under 37 CFR 1.17 (q)                                       |          |
|              |              | 1806     | 180      | 1806     | 180      | Submission of Information Disclosure Stmt                                  |          |
|              |              | 8021     | 40       | 8021     | 40       | Recording each patent assignment per property (times number of properties) | 40       |
|              |              | 1809     | 750      | 2809     | 375      | Filing a submission after final rejection (37 CFR § 1.129(a))              |          |
|              |              | 1810     | 750      | 2810     | 375      | For each additional invention to be examined (37 CFR § 1.129(b))           |          |
|              |              | 1801     | 750      | 2801     | 375      | Request for Continued Examination (RCE)                                    |          |
|              |              | 1802     | 900      | 1802     | 900      | Request for expedited examination of a design application                  |          |
|              |              |          |          |          |          | Other fee (specify) _____  |          |

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$ 40)

\*\*or number previously paid, if greater; For Reissues, see above

| SUBMITTED BY      |   | Complete (if applicable)         |        |           |                |
|-------------------|---|----------------------------------|--------|-----------|----------------|
| Name (Print/Type) | Cynthia B. Rothschild   | Registration No. Attorney/Agent) | 47,040 | Telephone | (336) 747-7541 |
| Signature         |  |                                  |        | Date      | 9/11/03        |

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing this form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

## EXPRESS MAIL CERTIFICATE

"Express Mail" mailing label number : EV 315 183 396 US

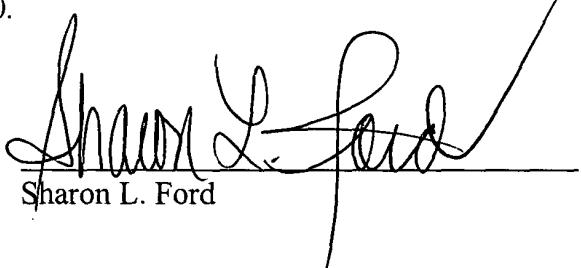
Date of Deposit : September 11, 2003

Type of Document(s) : Utility Patent Application Transmittal  
: Fee Transmittal for FY 2003  
: Specification (37 Pages)  
: 3 Figures (3 Pages)  
: Check #341162 for \$645  
: Information Disclosure Statement  
: IDS (PTO/SB/08a) (5 References)  
: Declaration for Patent Application  
: Power of Attorney (with copy of Assignment attached)  
: Assignment w/Check #340730 for \$40  
: Recordation Form Cover Sheet (PTO/1595)  
: Return Post Card.

Serial No. : Unassigned

Filing Date : September 11, 2003

I hereby certify that the documents identified above are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 on the date indicated above and are addressed to Mail Stop: Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.



Sharon L. Ford